

INSTRUCTIONS FOR COMPLETION

TARGETED EXEMPTION: **PILOT PROFICIENCY CHECKS (PPC)**

A TE form must be submitted by the National Continuous Monitoring Coordinator (NCMC) or authorized user from a Member State.

Part A. ICAO Use only

States **should not complete** any of Part A.

Part A provides a unique reference number for the TE in order that it can be quickly and unambiguously referred to, and to ensure other States are able to easily find the information provided regarding this TE. This includes identifying where concurrent use of TEs is in place.

Details will be added by ICAO on submission of a fully completed TE form that meets the requirements as outlined in the following sections. Completion of this section with the TE reference and cross-referencing for other TEs (where applicable) should be taken as evidence that the TE has been successfully submitted and recorded by ICAO.

When States are reviewing TE forms submitted by another State, it should be noted that where Section A has not been completed, the TE form has either not been submitted to ICAO, or does not meet the requirements for completion of Parts B and C as outlined in the following sections.

Part B. Targeted Exemption Details

Part B provides specific detail on the targeted exemption, including which Standard it relates to, when the TE is applicable and who in the State is to be contacted for more details, if required.

The information in **Part B** is also used to enter the TE details into a searchable database, allowing the TE to be easily found by States, reference number, affected Standard or applicability. This action forms part of the ICAO process following submission of a correctly completed form.

1. State

The State of the Operator (or other responsible State where the State of license issue is not the State of the Operator) will be responsible for providing details of TEs related to PPCs for operators. This section should be completed with the full name of the State issuing the TE.

2. Notification Date

This date refers to the date on which the TE was completed and submitted to ICAO for publication. *It is not related to the applicability date.*

Notification should be as far in advance of the start date of the TE as is practicable to allow for submission and processing by ICAO, ensuring the TE details will be available to view at the start of the applicability period.

3. Reason for granting TE

A clear and concise description of the need for a TE should be provided here. An example could be as follows:

Basic Airways uses training centers for Airbus aircraft which are impossible to access as they are located in another State currently imposing travel restrictions. Airbus fleet operations must be sustained while alternative arrangements for undertaking PPCs is put in place.

TEs should only be granted for issues that are the result of restrictions imposed by the COVID-19 pandemic, and not in response to systemic issues.

TEs should be specific to a clearly defined situation and drafted specifically for that situation. It is possible that a State may need multiple TEs in relation to one Standard, for example where multiple operators are based in a State and two or more of these operators have issues with gaining access to FSTDs. In this case a TE for each operator is required as the risk assessment and mitigations will depend on the complexity of the operation and the maturity of the operators SMS process.

Details regarding the plan for a return to normal operation when the TE expires should also be included here.

4. Associated SARP (Target group)

For PPCs, the references for Annex 6 Part I and Part III are provided. States should indicate which Standard the TE is related to by checking the relevant check box.

5. TE Applicability period

TEs are granted for a specific time period. This must be specified on the form using **From** and **To** dates (in UTC) indicating the start of the TE applicability period and the end date after which it will no longer apply.

Should a TE be required beyond the supplied applicability period, a new TE form will be required to be completed and submitted to ICAO.

Automatic filtering of the database entries for TEs will ensure that only TEs that have not expired (current and future) will be shown to the States when looking for information on existing exemptions.

6. TE approved for use by:

A PPC targeted exemption is aimed at a specific group experiencing an issue with compliance to a Standard (i.e. exemptions that need to be accepted by other States to allow entry into their airspace). PPC TEs should therefore clearly specify to whom they apply. As described above, where there are multiple

eligible operators requiring PPC TEs, these must be completed separately since the exact conditions, risk and mitigations relative to each will be different.

This section should aim to describe as accurately as possible which group is affected by the exemption.

Note that:

- a. The PPC TE should only be granted where all other options have been explored and there is no other alternative.
- b. PPC TEs should only apply to a distinct group affected by the issue described in 'Reason for granting TE'. For example, if an operator has 2 aircraft types on their AOC and has access to an FSTD in which to conduct PPCs for one type, they should only be granted the TE for the subset of pilots for whom access to the FSTD is not possible – it should not apply to the operator as a whole unless required to do so.
- c. Detail provided in this section should be sufficient to identify who is subject to the PPC TE without the need for follow up with the State focal point.

7. Operator accountable person

Following authorization from the State, an accountable person within the affected organization (the operator, in this case) should also provide their details to acknowledge that they have accepted and understood the conditions under which the TE is granted and under which they will continue to operate.

8. State focal point

The State will need to nominate a contact individual who can be contacted by ICAO or another State in the event that additional information is required in respect of the issued TE.

Such questions might include (but are not limited to):

- a. Clarification on the applicability of the TE;
- b. Additional information on the risk assessment conducted by the State before granting the TE;
- c. Additional detail on specific mitigations put in place.

9. State/CAA Accountable person

The TE needs to be authorized by a person of authority within the State. For PPC-related TEs, this could be the equivalent position to the Head of Flight Operations, or if necessary the DG of the CAA.

By completing and submitting the TE form, along with the accountable person details, the State is officially recognizing that they are granting an exemption to the operator and that they have satisfied themselves that:

- a. A risk assessment has been conducted to identify the potential risks to the operation resulting from the TE.
- b. Suitable mitigations have been considered (see **Part C** below) and put in place to maintain an acceptable level of safety performance).
- c. Continued oversight on the part of the State will be conducted for the duration of the applicability period to ensure the operator is complying with the requirements specified in the TE.

TE forms received by ICAO that are not authorized by a suitable individual from the issuing State will be returned for completion.

Part C. Targeted Exemption Elements

Part C of the TE form is intended for the State to outline the additional measures associated with the use of the PPC TE that have been put into place to maintain the acceptable level of safety. Additional measures will depend on the specific circumstances that the PPC TE is addressing. Below, additional guidance on potential measures is provided which should be considered carefully by States.

1. Maximum interval

In this section the State should indicate the maximum interval allowed between successive ICAO-compliant pilot proficiency checks (PPCs), noting the following:

- The interval defined here is the actual elapsed time between PPCs being conducted by a pilot.
- 12 months is considered the longest acceptable interval between two PPCs. Where possible, the actual interval allowed under the TE should be as close as possible to 6 months. The maximum interval of 12 months should not be considered as the default exemption.
- Where a State allows for completion of a PPC to be within a specified timeframe before the expiration date, the extension should be based on the normal validity. In such cases there may be occasions where the actual time elapsed between PPCs is longer than 12 months. This should be noted on the form.

2. Specific Mitigations

States should ensure that appropriate controls and oversight are in place to adequately review operator risk assessments (including access to SMEs where appropriate). In assessing individual operator TE risk assessments States must be cognisant of the impact of other exemptions being applied by that operator or in the aviation system applicable to that operator.

The operator risk assessment, reviewed by the relevant State (typically this would be the State of the Operator but not always), should include details of any and all mitigations intended to ensure an acceptable level of safety performance while the TE is valid.

Section 2 should specify all such mitigations that have been put in place, in sufficient detail to provide evidence that the proposed mitigations have adequately addressed any additional safety risks associated with the use of the TE.

The following guidance represents possible mitigations that could be considered by an operator:

a. Alternative training requirements

Following the detailed risk assessment, it may be necessary to identify additional training requirements as a condition of the TE, such as:

- Increased theoretical training to provide a refresher on knowledge and SOPs including normal and non-normal operations;

- Using manufacturer supported websites and recognized sources promoting best practices (e.g. AUPRTA Rev3; ...);
- The use of fixed base simulators or other acceptable training devices, in support of assessing the theoretical training and application of SOPs including normal and non-normal operations; and
- Line operations assessments to monitor the piloting technique in normal operations.

b. Operating limitations

When operating under a TE it may be necessary to reduce the operating limitations to ensure that the crew, who have not had a proficiency assessment or other assessment on the regular schedule, do not operate in extreme conditions that could present a safety hazard.

Care should be taken that these operating limitations do not, in themselves, present an additional hazard to safe operations and are only imposed where the safety risk assessment indicates a genuine need to limit potential exposure.

Potential restrictions that could be considered are:

- Reduced crosswind/tailwind limits
For example: a restriction on any operations with a tailwind, and a maximum crosswind limitation of 2/3rds of the aircraft demonstrated capability.
- Conservative procedures for operations with contaminated runway surface conditions and in severe weather conditions
For example restrictions on operations with runway braking actions below medium, or a restriction of operations to areas with known or forecast windshear conditions.
- Higher take-off/approach minima
For example, an increase in minimum RVR for take-off to above 600m visibility and consideration of an increase in approach minimum.
- Early achievement of stabilized approach criteria
For example, requiring the aircraft to be stabilized by 1500 ft AGL.
- No dispatch with operational MEL items that may unacceptably increase pilot workload
For example, specifying that pilots operating under a TE do not conduct operations with inoperative electrical or bleed air systems requiring additional procedures and actions.
- Restricting the conduct of operations based on specific approval items (such as RNP AR), where these require training and checking during the course of the normal proficiency check/training cycle
For example, while operating under the TE crew would be prohibited from performing RNP AR APCH procedures, Cat III landings etc.

c. Restricted Crew Composition

Limited flight crew combinations and pairings should be considered, for example the avoidance of inexperienced or crew subject to TEs operating together.

d. Other

Any other mitigations not included in the above, but which are conditions of the TE, should be specified here.

3. Document to be issued

In this section, any State-issued documentation that provides confirmation that crew are operating under a State approved TE, should be identified. Such documentation can be presented on ramp inspection in another State, where necessary. Where the TE form is presented as the document, it must include a completed Section A to verify that it has been received by ICAO.